

A White Paper by the Study Team of the
**NATIONAL ACADEMY OF PUBLIC
ADMINISTRATION**
for the United States Merchant Marine Academy

U.S. Merchant Marine Academy:
A Path Forward
Implementation Plan (White Paper)



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November 2021

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**NATIONAL ACADEMY OF PUBLIC
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**U.S. Merchant Marine Academy:
A Path Forward
*Implementation Plan (White Paper)***



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About the Academy

The National Academy of Public Administration is a non-profit, non-partisan, and independent organization of top public management and organizational leaders who tackle the nation's most critical and complex public management challenges. With a network of close to 1,000 distinguished Fellows and an experienced professional staff, the Academy is uniquely qualified and trusted across government to provide objective advice and practical solutions based on systematic research and expert analysis.

Established in 1967 and chartered by Congress in 1984, the Academy continues to make a positive impact by helping federal, state, and local governments respond effectively to current circumstances and changing conditions. Learn more about the Academy and its work at www.napawash.org.

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Acronyms and Abbreviations

Acronym or Abbreviation	Definition
CIP	Capital Improvement Program
DEIB	Diversity, Equity, Inclusion, and Belonging
DOT	U.S. Department of Transportation
ILO	Institutional Learning Outcome
MARAD	U.S. Maritime Administration
METERB	Maritime Education and Training Executive Review Board
MSCHE	Middle States Commission on Higher Education
NAPA	National Academy of Public Administration
SAPRO	Sexual Assault Prevention and Response Office
SASH	Sexual Assault/Sexual Harassment
SOP	Standard Operating Procedure
SUNY	State University of New York
USMMA	United States Merchant Marine Academy

Introduction

To help advance the USMMA mission, Section 3513 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2020¹ directed the Secretary of Transportation to enter into an agreement with the National Academy of Public Administration (NAPA) to conduct an independent, comprehensive assessment of USMMA. The report is “Organizational Assessment of the U.S. Merchant Marine Academy: A Path Forward” (the report).

The Department of Transportation (DOT) requested NAPA provide additional details regarding recent developments and guidance towards sequencing activities related to the report’s recommendations. Additional tasks included:

- The discussion of new management efforts undertaken by MARAD and DOT.
- The prioritization of recommendations based on short, medium, long-term actions, additional resources required, and potential challenges.
- The identification of levels of effort, timing, and stakeholders necessary to accomplish recommendations.
- The description of the interrelationship between the US Merchant Marine and USMMA.

The white paper was developed from September 2021 through November 2021. The Study Team reviewed documents and conducted structured interviews with federal officials and stakeholders. In addition to more than 100 individuals interviewed for the initial phase of the project, the Study Team spoke to six additional officials:

- Dr. Corey Beckett, MARAD CFO
- Michael Carter, Associate Administrator, Office of Environment, MARAD
- Brett Scrum, Deputy Associate Administrator for Administration, MARAD
- Keith Washington, Deputy Assistant Secretary for Administration, Office of the Secretary
- Lana Hurdle, Deputy Assistant Secretary for Budget and Programs, Office of the Secretary
- Judy Kaleta, Deputy General Counsel, Office of the Secretary

¹ P.L. 116-92

Implementation Plan

This report contains 67 recommendations, some of which lay the groundwork for others. The implementation plan consolidates, categorizes, and prioritizes recommendations. Figure 1 summarizes the approach.

The report's overarching recommendation is for the Secretary of Transportation to form a **Task Force on USMMA Governance and Culture**, chartered to assess and, as needed, recommend changes to transform USMMA external and internal governance and Academy culture. The Task Force will bring together high-level officials with specific areas of expertise to guide USMMA, MARAD, and DOT leaders as they address longstanding issues and take steps to modernize the institution. The Task Force will not be directly involved in making the changes recommended in this report. Rather, it will establish accountability and help ensure that USMMA, MARAD, and DOT address the recommendations. Because several months of lead time may be necessary to set up the Task Force, DOT, MARAD, and USMMA must immediately move forward on the most urgent matters that can begin to be addressed.

The priorities described below are sequential but not discrete. Many efforts can occur simultaneously. Steps that require substantial lead time should begin as soon as they become feasible. While the Task Force is being established, Congress, DOT, and MARAD can take steps to improve oversight at the same time.

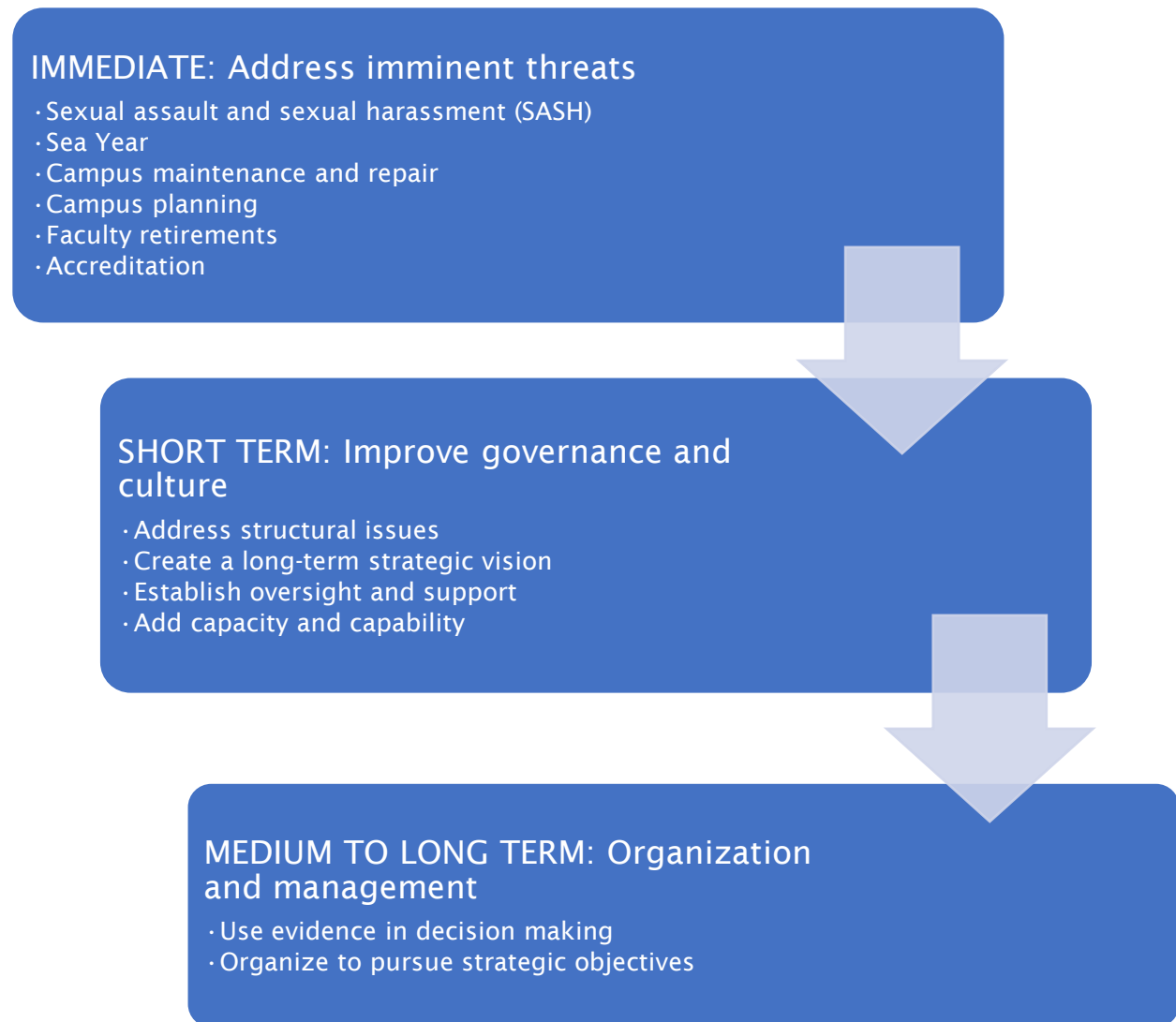
Likewise, arranging for new positions, external support, training, and technology investments will likely require time. These capacity-building steps are prerequisites to using evidence to inform decision making and improve management practices. A key finding of the report was that administrators and staff were focused on the daily tasks of running USMMA. They lack the time and ability to design and implement efficiency-building management systems, arrange for and take training, implement technology, develop plans and strategies to pursue objectives, hire staff or outsource in a timely manner, monitor activities, or collect and use performance data to assess operational efficiency, effectiveness, and goal achievement.

First, address imminent threats to health, safety, and welfare of Midshipmen and the USMMA community

At the time of publication of the report (November 2021), DOT, MARAD, and USMMA faced simultaneous challenges related to sexual assault and sexual harassment (SASH), Sea Year, maintenance and repair, campus planning, faculty retirements, and accreditation, among others. New allegations of **sexual assault** while on **Sea Year** emerged during 2021. At the time of publication of this report, DOT, MARAD, and USMMA were discussing when and how to resume Sea Year. Longstanding **maintenance and repair** issues were elevated in June 2021 when the Acting Administrator of MARAD visited campus and observed conditions. As described in chapter 9 of the report, DOT and MARAD have begun planning to address the most urgent needs, but significant work remains. **Campus planning** to address inadequate facilities and infrastructure has been stalled since July 2020, when USMMA completed its Long-Range Master Plan. The needs are great, but as described in chapter 4, substantially more preparation and planning are needed before large-scale construction should be undertaken. In coming years, **faculty**

retirements will create an opportunity to adapt to emerging training and education needs. The opportunity may be lost if the academy does not plan strategically. USMMA is due for a visit from the Middle States Commission on Higher Education. Its **accreditation** hinges on its ability to make good on its commitments to address shortcomings identified in 2016-2017.

Figure 1: Implementation Plan for Adding Capacity and Capability, Enhancing Use of Evidence to Inform Decision Making and Improving Management Practices



Second, under the auspices of the Task Force, address governance and culture issues

Under the auspices of the Task Force, examine structural issues, create a long-term strategic vision, establish oversight and support, and add capacity and capability. **Structural issues** include primarily a re-examination of the academic year and Sea Year. **A long-term strategic vision** will create a set of guideposts for decision making, preparing USMMA to train mariners for decades to come.

Oversight entails ensuring that policies, plans, projects, and programs achieve desired outcomes, use taxpayer funds wisely, and comply with laws, regulations, policies, and other standards. Oversight bodies can also serve a **support** function by supplementing organizational capacity. Inadequate support, oversight, and accountability over a period of years has contributed to longstanding issues and lack of modernization at USMMA. Without support and guidance, USMMA has relied on its own capacity and capability to set and implement policy and manage operations. Growing challenges and a changing environment have outpaced Academy officials' ability to keep up. Several bodies oversee USMMA, but that oversight is fragmented and not coordinated.

Capacity and capability represent an organization's wherewithal to operate its systems. They also shape its ability to initiate and sustain change. Organizational strengths enable success, while organizational weaknesses may inhibit it. Capacity building creates an investment in sustainability and effectiveness. A key finding of this report is that institution-wide shortfalls in staffing and resources have undermined USMMA's mission and operations. The Academy has lacked the capacity and capabilities to prevent the challenges it faces today. Without enough leaders, managers, faculty, and staff with the needed knowledge, skills, and abilities, USMMA cannot address longstanding issues, much less modernize. To surmount this obstacle, USMMA must add capacity and capability in all areas of operations. Additional capacity may be in the form of additional leadership or staff positions, outsourcing, training, public-private partnerships, the implementation of technology, or divestment of some functions to MARAD. The addition of capacity and capability follows the formation of the Task Force. Appendix A provides criteria to guide decisions about adding capacity.

These measures will provide the wherewithal for DOT, MARAD, and the Academy to make badly-needed operational improvements. Recommendations in the report related to governance and culture are recapped in Appendix C.

Third, under the auspices of the Task Force, create management systems and organize functions to pursue strategic objectives

With additional supports and resources in place, individual function areas can incorporate evidence and standards to improve decision making and enhance management and organizing. **Improving decision making** through the use of evidence and standards entails collecting and analyzing data on activities, outputs, and outcomes. It provides insight into the effectiveness of activities to support the mission and strategic goals and allows leaders to track progress toward achieving those goals. Leaders would use that insight to inform decision making for the next period, recognize and reward performance, and identify and share effective approaches. **Management and organizing** can make a difficult task easier by reducing unnecessary steps and limiting the waste of scarce resources. With a strategic plan in place, organizing arranges resources and maps out tasks needed for successful implementation. Recommendations in the report related to decision making, management, and organizing are in Appendix D.

Resources, Challenges, Level of Effort, Timing, Stakeholders, and Complexity

The recommendations in this implementation plan will require coordination, planning, and successful navigation through multiple levels of approval. Some recommendations will require one-time or ongoing outlays to develop and maintain needed systems. This section summarizes the constraints that USMMA, MARAD, and DOT will have to confront as they move forward.

Constraints related to establishing the Task Force and improving oversight and support

Resources needed

Outlays related to the operation of the Task Force may be needed, for instance, to cover travel, stipends (if provided), and supplies. Existing MARAD or DOT staff may be able to support the Task Force and additional oversight.

Challenges

The effectiveness of oversight and support by Congress, DOT, and MARAD depends on the individuals in place to carry it out. Those individuals are primarily elected officials and political appointees. A change in administration and shifts in Congress can alter oversight of the Academy. The Board of Visitors—some of whom are members of Congress—can offer guidance on a wide range of strategic issues. Minutes of recent meetings suggest that the Board of Visitors plays a limited role in strategy development.

Level of effort and timing

MARAD and DOT have already assembled resources to deal with some of the Academy's most pressing problems. METERB has created three working groups, addressing (1) diversity, equity, and inclusion, (2) environmental, health, and safety, and (3) budgeting and resources. DOT has assembled tiger teams² and a wide range of resources to deal with urgent facilities and infrastructure issues.

Arranging for the Task Force will take substantial time and effort for notifications, recruitment, preparation of materials, and scheduling and may reduce support for the existing METERB working groups.

Stakeholders

The primary stakeholders are the faculty, staff, and students of USMMA and the entities that will provide the oversight and support. The academy community is accustomed to its current mode of

² Originating in the fields of information technology and security, a “tiger team” is “a cross-functional team pulled together for a period of time to address a critical issue. They are often formed when ... the most likely solutions have already been tried without success.... The team schedules a series of meetings to work through an issue until a root cause is determined and a solution is implemented.” “GSA Tech Guides: Running Tiger Teams” General Services Administration, accessed September 25, 2021, https://tech.gsa.gov/guides/Tiger_teams/.

operations. Adjustment to change can be difficult. On the other hand, the USMMA community stands to benefit most directly from improvements. If addressed immediately, as recommended, resolution of imminent threats to health, safety, and welfare will improve the quality of life for all. Likewise, increasing oversight and support will require Congress, DOT, and MARAD to change how they interact with the academy.

Complexity

The composition of the Task Force will have to be determined. The Task Force is proposed to consist of senior leaders from the public and private sectors with demonstrated success in transforming organizations in government, higher education, and the maritime community. They should have backgrounds in change management; facilities and infrastructure recapitalization; diversification of undergraduate STEM colleges and universities; public sector financial management; federal practice and requirements; the maritime transportation industry, etc. The Secretary may choose to add members able to address USTRANSCOM's need for merchant marine support and associated training needs. As typically 25% of the graduating class joins the Navy or other branches of the military, additional representation of the Armed Services may be needed.

Constraints related to adding capacity

Resources needed

The costs associated with many of the recommended expenditures will depend on the scope. Nonetheless, some parameters can help decision makers to understand the resource commitment.

- The recommendation for additional staff includes two senior managers and 12 administrative and staff positions. The estimated annual cost is \$1.4 - \$2.1 million.³
- MARAD and USMMA have already begun working on a campus maintenance contract.
- The cost of a 24-hour mental health support line is unknown, but the State University of New York (SUNY) system can serve as a benchmark for total mental health spending. However, as a larger system, it is likely to benefit from efficiencies of scale that USMMA would not. SUNY spends \$168 per student on mental health services. An equivalent for USMMA would be approximately \$168,000.⁴
- The cost of an updated culture audit could be estimated from spending for the 2016 LMI culture audit. Ordered in response to the 2016 Sea Year stand down, the LMI study

³ Using OPM's New York regional pay scale and adding 35% for the cost of benefits, the calculation of annual costs for new personnel assumes three administrative support (GS-9 at \$83,352), two senior managers (GS-15 at \$199,792), and 12 staff positions. A low estimate assumes all positions are GS-9. The medium estimate assumes all positions are GS-11 (\$100,848). The high estimate would fill all positions at GS-15. Office of Personnel Management, "Pay Rates: New York," accessed October 18, 2021 at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/NY.pdf>.

⁴ The Fall 2020 undergraduate enrollment in the SUNY system is 350,889. (State University of New York, SUNY Fast Facts, accessed October 18, 2021 at <https://www.suny.edu/about/fast-facts/>.) In July 2021, the chancellor announced that it would increase annual spending on student mental health to \$59 million. Because of the size of the SUNY system, economies of scale may result in per student costs that are lower than USMMA would be able to achieve if it provided the same level of services.

provided insight into factors contributing to SASH. To the extent that the Academy has made any progress, that report is out of date.

- The cost of a human resource and organization study would depend on the scope, including the amount of initial information gathering needed to determine existing arrangements.
- The cost to provide external support, training, and technology for performance measurement would depend on the scope, including the capacity and capability of current staff to carry out these functions.
- Training is assumed to be provided by existing or, in some cases, new staff and leaders, requiring no additional outlay.
- The cost of technology to support the mission, a learning assessment system, a performance measurement system, and tracking of maintenance activities and spending would depend on the scope. A technology needs assessment should be conducted as an initial step to determine the detailed costs associated with this step

Challenges

Changes to the status quo and disruption of routines may be met with resistance and skepticism.

- Hiring and onboarding new staff are time-consuming activities. Likewise, the contracting process is a lengthy process.
- Recruitment of new staff and leaders will be challenging because the positions will be new, likely requiring knowledge, skills, and abilities different from those of existing positions.
- Developing contracts will be hard because they are arranging for new activities and new areas of expertise.

Level of effort

Most needed support activities focus on navigating federal processes. Approval of new funding will require justifications as part of the annual budget process. Staff support will be needed to hire and onboard new staff. Support for contracts will also be needed.

Timing

Adding capacity and capability will require lead time to arrange for funding and approvals. Officials will need to prepare justifications for the FY23 budget cycle.

Figure 11-2 proposes activities to begin in years one, two, and three. However, the sequencing of events is crucial to the success of subsequent steps. For instance, new administrative staff are needed to carry out some of the tasks associated with adding capacity. They are also needed to free up the capacity of existing staff and leaders to address function area needs.

Stakeholders and change management

Current faculty, staff, and students should be kept apprised of plans and their implementation. Successfully managing change is an ongoing process.

NAPA has developed a framework for change management based on comprehensive research on leading practices for organizational transformations.⁵ See Appendix B for additional detail. This framework focuses on three reputable sources, each of which reflects the most common practices for organizational transformation:

- Transforming Organizations, by Mark A. Abramson and Paul R Lawrence
- The Heart of Change, by John Kotter and Dan Cohen
- A Government Accountability Office (GAO) report to Congressional Subcommittees, Results-Oriented Cultures: Implementation Steps to Assist Mergers and Organizational Transformations

The authors of these works are considered thought leaders in organizational transformation and change management. Research for all three published works included in-depth academic study, data collection, consulting, and work experience with an extensive group of organizations undergoing change. The publications represent a cross-section of public (Abramson) and private sector (Kotter) best practice examples, with the GAO Report reflecting both. A diagram summarizing and comparing these approaches appears in Appendix B.

Change management prepares people and the organization for changes needed to implement a new strategic plan or change the organization, processes, and procedures to deliver existing capabilities in a new way. Specific activities include:

- Planning for the change to occur in the organization;
- Building executive leadership and commitment to ensure the vision and future state are clearly articulated and understood by all;
- Transforming the way people work to ensure they adopt and own the new strategies, processes, and ways of working associated with the change effort; and
- Managing change to equip the organization to respond positively to the change effort.

Key Success Indicators for Change Management include:

- 1) Ensure top leadership drives the transformation
- 2) Establish a clear vision and integrated strategic transformation goals
- 3) Design the organizational structure that will enable the vision
- 4) Create a sense of urgency, implement a timeline, and show progress from day one
- 5) Communicate frequently through multiple channels to multiple stakeholders
- 6) Dedicate a powerful implementation guidance team to manage the transformation process
- 7) Engage employees to seek their improvement ideas, build momentum, and gain their ownership for the transformation
- 8) Sustain the effort by nurturing a new culture, rewarding risk, and measuring progress

⁵ The NAPA framework previously appeared in National Academy of Public Administration, “Communication and Change Management Implementation Strategy,” White Paper for the Defense Nuclear Facilities Safety Board. November 2019, <https://napawash.org/academy-studies/DNFSB-report> and National Academy of Public Administration, “An Independent Assessment of Employee Views and Engagement,” Report for the department of Commerce Office of Inspector General, August 2020.

Complexity

Most complexity is associated with confronting trade-offs within DOT. Resources devoted to USMMA could come at the cost of other functions in MARAD. One recommendation related to hiring is to engage OPM to explore flexible hiring authorities. Making these arrangements could also have an impact on timing.

Constraints related to addressing internal functions

Once additional capacity and capability are put in place, lack of follow-through is the primary obstacle to using evidence (including performance measurement) to improve decision making and management practices to pursue strategic objectives. Oversight and support should minimize this risk, but the failure of oversight and support from all three entities is another risk. USMMA, MARAD, and DOT may find that as conditions on the ground unfold, different capacities and capabilities are needed.

Appendix A: Criteria to Guide Decisions about Adding Capacity

General Criteria to Select Capacity-Building Options

Increase positions at USMMA: functions that	• Require direct observation and contact with operations on campus • Require an understanding of how operations vary with changing conditions, possibly requiring rapid response or adaptation of available options • Require an understanding of the culture.
Outsource: functions that	• Are not core to the Academy • Can be performed more efficiently or effectively by a specialist • Cannot be carried out locally • Are needed on a one-time or limited-time basis or can be better performed from an outside perspective, such as a strategic assessment, development of work processes, or creation of standards
Invest in technology: functions that	• Are repetitive and needed over a long period • Can be standardized, within reason • May entail dispersed access, e.g., to enter or retrieve information
Training: functions that	• Require deep understanding of a work process • Would be more effectively performed if additional individuals had the capability
Shift to MARAD or DOT or other centralize: functions that	• Require a high level of expertise not available at the Academy but is available at another agency • Are needed intermittently • Involve the institution's fit into a larger context, including compliance

Functions that have a mix of these characteristics require a high level of coordination and cooperation.

Appendix B: Change Management Framework

The diagram below⁶ represents a cross-section of public sector (Transforming Organizations) and private sector (Heart of Change), with the GAO Report reflecting on both for best practice examples. The authors of the frameworks above are the thought leaders in Organizational Transformation and Change Management. Research for all three published works includes in-depth academic study as well as work, consulting experience, and data collection with an extensive group of organizations. They reached very similar conclusions, bolstering the validity of the 8-step methodology for identifying key success indicators.⁷

	Transforming Organizations* (Abramson/Lawrence)	Heart of Change* (Kotter/Cohen)	Implementation Steps to Assist Mergers and Organizational Transformations* (GAO July 2003)	
Best Practices / Lessons Learned	Select the right person	Create a sense of urgency so that people start telling each other "Let's go, we need to change things!"	Ensure top leadership drives the transformation.	
	Clarify the mission	Pull together a guiding team powerful enough to guide a big change.	Establish a coherent mission and integrated strategic goals to guide the transformation.	
	Get the structure right	Create clear, simple, uplifting visions and sets of strategies.	Focus on a key set of principles and priorities at the outset of the transformation.	
	Seize the moment (urgency / right time)	Communicate the vision through simple, heartfelt messages sent through multiple channels so that people begin to buy into the change.	Set implementation goals and a timeline to build momentum and show progress from day one.	
	Communicate, communicate, communicate	Empower people by removing obstacles to the vision.	Dedicate an implementation team to manage the transformation process.	
	Involve key players	Create short-term wins that provide momentum.	Use the performance management system to define responsibility and assure accountability for change.	
	Engage employees	Maintain momentum so that wave after wave of change is possible.	Establish a communication strategy to create shared expectations and report related progress.	
	Persevere	Make change stick by nurturing a new culture.	Involve employees to obtain their ideas and gain their ownership for the transformation.	

⁶ The diagram previously appeared in NAPA, "Communication and Change Management Implementation Strategy," November 2019 and NAPA, "An Independent Assessment of Employee Views and Engagement," August 2020.

⁷ GAO Report to Congressional Subcommittees, "Results Oriented Cultures: Implementation Steps to Assist Mergers & Organizational Transformations," GAO-03-669, July 2003. Cohen, Dan and Kotter, John. "The Heart of Change." Boston, Harvard Business School Press, 2002. *Transforming Organizations*. Edited by Marc A. Abramson and Paul R. Lawrence, Lanham, MD. Rowman and Littlefield Publishers, 2001

Appendix C: Governance and Culture Recommendations

Address structural issues

- 3.4 Congress should revisit the length and structure of the **academic year**.
- 6.5 USMMA and MARAD should jointly assess the feasibility of other models and mechanisms for delivering **Sea Year** in which minimum standards for Midshipmen's security, safety, and well-being are required, including public-private partnerships and memoranda of agreements with commercial maritime companies.

Create a long-term strategic vision

- 8.4 USMMA should supplement its 5-year strategic plan with a **longer-term vision plan** that would cover as much as a 20-year time horizon.
- 9.4 During the long-term strategic planning process, address how USMMA's goals and objectives support **MARAD and DOT strategic plans**.

Improve oversight and support

Improve Congressional Oversight and Support

Facilities and Infrastructure	4.4	Congress should require improved CIP reporting. USMMA should produce a CIP report for FY20 and FY21 that includes project updates, complete with all data elements as directed by the Senate Appropriations Committee.
	9.1	Congress should more actively and consistently oversee USMMA and hold DOT, MARAD, and USMMA accountable for results.
Institution	9.2	Congress should require USMMA to post all Congressionally directed studies prominently on their website.

Improve DOT Oversight and Support

Facilities and Infrastructure	4.9	Improve management, coordination, communication, and use of information in facilities decision making . MARAD and DOT must provide oversight on the assessment of needs.
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Improve MARAD Oversight and Support

Facilities and Infrastructure	4.9	MARAD and DOT must provide oversight on the assessment of needs .
Institution	9.3	MARAD and USMMA must clarify concurrent reporting and coordination responsibilities for functions at USMMA and internal processes by developing Standard Operating Procedures (SOPs).

Add capacity and capability

Increase capacity and capability by adding staff

Education	3.2	Develop an institution-wide learning assessment system aligned with strategic goals and ILOs, adding staff as needed.
Facilities and Infrastructure	4.10	Hire a professional facility executive and assign them to direct and coordinate all F&I aspects for a consistent, ongoing facility engineering program, including maintenance, repair, and capital improvements.
	4.8	Add capacity and capability for facilities and infrastructure planning .
Institutional Culture	5.6	Increase institutional capacity to build diversity, equity, inclusion, and belonging. • Create a DEIB Office staffed with individuals experienced in DEIB in undergraduate institutions of higher education, preferably with a STEM focus. • Create a Chief Diversity Officer position that is part of the senior leadership team to inform decisions, policies, programs, and procedures.
SASH	6.4	Increase the capacity of the SAPRO office by adding a staff member with significant experience in designing and implementing SASH programs at an undergraduate institution of higher education.
Institution	8.2	Based on a human resource and organizational study, reorganize, realign, and add administrative capacity , especially regarding the modernization of management practices and cultural transformation.
	8.6	Add capacity and capabilities as needed to develop and implement performance metrics and a performance measurement system that demonstrates USMMA's progress towards its own goals and objectives, including the following: • Add staff and contractual support for faculty, including the capability to analyze data.

Increase capacity and capability by outsourcing

Facilities and Infrastructure	4.1	Accelerate expansion of maintenance capacity by adopting a campus maintenance contract or another staffing arrangement.
Institutional Culture	5.14	Create and staff or contract with a 24-hour mental health support line , staffed by a qualified mental health professional(s), for both crisis and non-crisis situations.
SASH	6.2	Arrange for external resources to update the comprehensive assessment of institution-wide SASH policies, programs, and performance and develop improvement plans.

Institution	8.2	Arrange for external resources to conduct a human resource and organizational study to identify opportunities to reorganize, realign, and add administrative capacity, especially regarding the modernization of management practices and cultural transformation.
	8.6	Add capacity and capabilities as needed to develop and implement performance metrics and a performance measurement system that demonstrates USMMA's progress towards its own goals and objectives, including the following: • Add staff and contractual support for faculty, including the capability to analyze data.

Increase capacity and capability by providing training to faculty and staff

Education	3.2	Develop an institution-wide learning assessment system aligned with strategic goals and ILOs, providing training as needed.
Institutional Culture	5.13	Train and budget for professional development opportunities for administrators, faculty, and staff to collaboratively identify and reduce race- and ethnicity-based inequities impacting institutional culture .
SASH	6.7	Train all Midshipmen, faculty, and staff in SASH policies and procedures .
Institution	8.6	Add capacity and capabilities as needed to develop and implement performance metrics and a performance measurement system that demonstrates USMMA's progress towards its own goals and objectives, including the following: • Conduct training sessions with all staff and faculty to achieve a baseline understanding of performance measurement for all staff and faculty. Provide training to managers and department heads who will take the lead on implementation.

Increase capacity and capability by investing in technology

Education	3.2	Develop an institution-wide learning assessment system aligned with strategic goals and ILOs, investing in technology as needed.
Facilities and Infrastructure	4.2	Fully and immediately implement tracking of maintenance spending and activities , investing in information technology as necessary.
	4.11	Accelerate investment in information technology that supports the mission; conduct a technology needs assessment as necessary.
Institution	8.6	Add capacity and capabilities as needed to develop and implement performance metrics and a performance measurement system that demonstrates USMMA's progress towards its own goals and objectives, including the following: • Invest in information technology to support performance measurement.

Appendix D: Management Systems and Organization

Education: Improve the evidence basis of decision making by

Collecting and analyzing performance data

- 3.2: Develop an institution-wide **assessment system** aligned with strategic goals and ILOs, increasing capacity and capabilities as needed.
- 3.3 Complete development and fully implement **assessment frameworks** for the Marine Engineering, Marine Transportation, and Maritime Logistics & Security majors.

Collecting and analyzing input from faculty and stakeholders:

- 3.5 Develop and implement an institutionalized process for engaging industry and other maritime stakeholders and collecting **input** on the knowledge, skills, and abilities that industry, ports, and the Armed Forces value and aligning USMMA's curriculum with emerging needs.
- 3.7 Utilize the **faculty forum** in a truly advisory capacity to engage faculty in USMMA's decision-making process.

Education: Improve management practices and organize to pursue strategic objectives by

Reviewing and revising the curriculum

- 3.1 Review and revise the **curriculum** to ensure it focuses on a career as a leader and encompasses courses, knowledge, and critical thinking competencies supporting ILOs.
- 3.6 Create a cycle for comprehensive **curriculum review**, reflecting input from stakeholders and assessing the cumulative effect of incremental adjustments since the previous comprehensive curriculum review and alignment of the curriculum with ILOs.

Promoting faculty development

- 3.8 Actively promote, fund, recognize, and take other steps to incentivize **faculty professional development**, as well as joint faculty-student and advanced student research.
- 3.9: Develop standard operating procedures for a MARAD **grant administration fund** to enable Academy faculty to receive external grants.
- 3.10 Congress should amend 17 US Code § 105(c)(2) to include the United States Merchant Marine Academy as a "covered institution," hence allowing faculty to control their **copyrights**.
- 3.11 Clarify and better communicate to faculty and staff the ethical requirements for publishing books and articles, participating in conferences, and engaging in other **outside activities** and employment.

Enhancing the faculty hiring process

- 3.12 Streamline the **faculty hiring process** and align faculty recruitment with the standard academic hiring cycle. Explore whether special hiring authority could improve recruitment and hiring of preferred candidates; if so, seek authority.
- 3.13 Develop **active recruitment strategies** to attract top academic talent.

- 3.14 Develop and revisit a **faculty succession plan** annually where academic departments and the academic division plan to adapt to changing education and training needs.

Institutional Culture: Improve the evidence basis of decision making by

Collecting and analyzing performance data:

- 5.2 Identify and longitudinally assess patterns, timings, and reasons for **Midshipmen departures**. If indicated, adjust curriculum delivery and develop and staff additional academic and other support programs to meet the needs of all Midshipmen.
- 5.9 Develop and implement DEIB **assessments**.
- 5.10 Undertake a Model EEO (MD-715) **self-assessment** and conduct a comprehensive barrier analysis of the workforce.
- 5.11 Develop and implement an Academy-wide **data collection and performance measurement system** related to institutional culture, using external resources as needed to provide data analytical capabilities.
- Define, collect, analyze, and use performance metrics that assess **outcomes** and inform decision making.
 - Develop performance metrics for staff and faculty that include **advising and mentorship** and incorporate advising and mentorship into annual performance reviews.
- 5.12 Undertake an independent, comprehensive examination of **educational outcomes** among Midshipmen of different racial, ethnic, religious, gender, and affinity groups.

Institutional Culture: Improve management practices and organize to pursue strategic objectives by

Supporting and promoting diversity, equity, inclusion, and belonging

- 5.1 Promote, support, and provide resources and meeting spaces for student **affinity groups**, and consider including leadership of affinity groups as a Midshipmen leadership position or experience.
- 5.4 DOT and Academy leaders should strongly and clearly communicate the value and **commitment to DEIB** at USMMA and DEIB's linkages to Academy values.
- 5.5 Develop and implement an Academy-wide **DEIB plan** aligned with the Strategic Plan, with DEIB goals, objectives, metrics, databases, and assessment tools.
- 5.9 Develop and implement DEIB **policies and programs**.

Using recruitment to increase diversity

- 5.3 Actively recruit to **diversify USMMA's faculty and staff**.
- 5.7 Expand efforts to recruit applicants who would add to the **diversity of the student body**.
- 5.8 Continue to communicate **demographic and diversity goals** to nominating officials to emphasize USMMA's commitment to more diverse admissions and encourage members of Congress to intentionally consider students of color, women, and other underrepresented groups in their District/State for admissions nominations.

Enhancing mental health support

- 5.15 The Superintendent should appoint an internal “**Counseling Assessment Team**” to review present conditions and policies related to access to mental health services.
- 5.16 Create campus and Sea Year physical and **mental health action plans**, with accountability measures by the Patten Health Center team with appropriate internal and external stakeholder input.
- 5.17 The Superintendent should lead a communications campaign that mitigates Midshipmen’s fear and reluctance when seeking mental health support by **dispelling rumors** and communicating with Midshipmen about the scope of their **rights to privacy when seeking mental health services** from different types of counseling and mental health providers.
- 5.18 Create and distribute an **annual written statement of confidentiality**.

Sexual assault and sexual harassment: Improve the evidence basis of decision making by

Collecting and analyzing performance data

- 6.1 Implement and assess the effectiveness of the Academy’s four-year training program to **combat retaliation** among Midshipmen and make necessary adjustments.
- 6.2 Conduct an immediate, comprehensive assessment of **institution-wide SASH policies, programs, and performance**, develop improvement plans, and create and implement a performance assessment framework.

Sexual assault and sexual harassment: Improve management practices and organize to pursue strategic objectives by

Communicating a commitment to SASH-related policies

- 6.7: Centralize, update, align, and communicate Academy-wide all **SASH-related policies** and procedures regularly.
 - **Communicate** SASH updates and progress with the USMMA community and other stakeholders, especially at the beginning of every academic year.
 - Periodically and in response to an increase in incidents, **reaffirm** leaders’ commitment to reducing SASH and its inconsistency with Academy values and professionalism. Reinforce Academy policies, procedures, and resources.

Stakeholder engagement: improve the evidence basis of decision making by

Collecting and analyzing performance data

- 7.2 Fully and formally adopt the nine key practices essential for **effective stakeholder engagement**.
 - Identify **accountability mechanisms** to monitor, evaluate, and report on the results of collaborative efforts.
 - Regularly reinforce and incentivize **individual accountability** for collaborative efforts through performance management systems, rewards, and recognition.

- Determine **resources** needed to meet the engagement outcomes with each stakeholder.
- 7.4 Develop an **internal online repository** for the information USMMA obtains from stakeholders and develop other formal mechanisms to disseminate this information among faculty and staff.

Stakeholder engagement: Improve management practices and organize to pursue strategic objectives by

Planning and formalizing procedures

- 7.1 Expand the role of the **Office of External and Government Affairs** and ensure that it has adequate capacity to function as an Office of Strategic External Liaison or similar.
- 7.2 Fully and formally adopt the nine key practices essential for **effective stakeholder engagement**.
- **Prioritize** stakeholders and engagement efforts based on impact level, level of support, and other factors.
 - Define and articulate common **outcomes and “wins”** for the group to accomplish.
 - Develop a **stakeholder engagement plan** that identifies stakeholders, why they should be engaged, and how they will be engaged.
 - Clarify **roles and responsibilities** of stakeholders.
 - Develop a **communication plan** to share information among stakeholders.
 - Consider different types of **collaborative mechanisms** appropriate to sustain relationships with external stakeholders over the long term, such as communities of practice, interagency groups, inter-entity memoranda of understanding, and knowledge-sharing networks to exchange lessons learned and promising practices.
- 7.3 USMMA and MARAD should designate a point of contact within their respective agencies to **coordinate** their engagement efforts better, collaborate as appropriate, and develop formal, two-way channels of communication to better share information and determine respective roles and responsibilities.
- 7.5 As appropriate, make greater use of **written guidance and agreements** to document collaborative stakeholder efforts and monitor and update them as needed.
- 7.6 USMMA’s **department chairs** should take the lead in engaging stakeholders in the maritime industry and port authorities to better ensure USMMA’s curriculum is up to date and reflects where the industry is headed.
- 7.7 Host annual roundtables or similar events with senior officials from industry and other external parties to create synergy among external stakeholders and have a recurring, formal mechanism for obtaining input from them.
- 7.8 Work with MARAD and Congress as appropriate and justify and seek reasonable appropriations for official **reception and representation activities** to better support USMMA’s outreach and engagement efforts with external stakeholders.

Institution: improve the evidence basis of decision making by

Collecting and analyzing performance data:

- 8.2 Conduct a **human resource and organizational study** to identify opportunities to reorganize, realign, and add administrative capacity, especially regarding the modernization of management practices and cultural transformation; implement as feasible.
- 8.5 Execute the **full assessment framework** as modeled and as described in Superintendent's Instructions.
- 8.6 Develop and implement performance metrics and a **performance measurement system** that demonstrates USMMA's progress towards its own goals and objectives.
 - As the institution becomes more adept at performance measurement, incorporate **higher-level measurement techniques**, such as learning agendas and logic models.
- 8.7 Publish annual **performance data** that show USMMA's progress towards its own goals and objectives.
- 8.8 Use the **individual performance management** system to drive change and achieve organizational results

Improve management practices and organize resources to pursue strategic objectives by planning and formalizing procedures

- 8.1 Develop a **strategic human capital plan** to guide the Superintendent's future recruitment of senior leaders and managers.
- 8.3 Create or redesignate a senior management position to provide long-term attention, focus, and direction on the **modernization** of management practices and transformational change.
- 8.6: Add capacity and capabilities as needed to develop and implement **performance metrics and a performance measurement system** that demonstrates USMMA's progress towards its own goals and objectives, including the following:
 - Develop and distribute a multi-year schedule that lays out a **timeline** for performance measurement system implementation.
 - Realign responsibilities to free up capacity for performance measurement
- 8.9 Develop and execute a plan to create internal SOPs.

Appendix E: Study Team Bios

Brenna Isman, *Director of Academy Studies*, Ms. Isman has worked at the Academy since 2008. She oversees Academy studies, providing strategic leadership, project oversight, and subject matter expertise to the project study teams. Before this, she was a Project Director managing projects focused on organizational governance and management, strategic planning, and change management. Her research engagements have included working with the National Aeronautics and Space Administration, the Environmental Protection Agency, the Social Security Administration, the Department of Veterans Affairs, and multiple regulatory and Inspector General offices. Before joining the Academy, Ms. Isman was a Senior Consultant for the Ambit Group and a Consultant with Mercer Human Resource Consulting. Ms. Isman holds a Master of Business Administration (MBA) from American University and a Bachelor of Science (BS) in Human Resource Management from the University of Delaware.

Dr. Nancy Augustine, *Project Director*, joined the Academy in January 2019 and was named *Director, Center for Intergovernmental Partnership*, in July 2021. Dr. Augustine has led projects for the Legislative Branch, Department of Commerce Office of Inspector General, and the U.S. Merchant Marine Academy (DOT). She specializes in intergovernmental relations, public management, policy assessment, environmental and cultural resources protection, comprehensive and strategic planning, state and local fiscal issues, and planning for investments in facilities and infrastructure. She has conducted research for the Department of Housing and Urban Development, Department of Labor, District of Columbia Auditor, and the Pew Charitable Trusts. Topics include affordable housing, housing finance policy, housing market trends, and state-level social support programs. She also worked in local government for ten years, in long-range planning and policy development. Dr. Augustine has a Ph.D. in Public Policy and Public Administration from the George Washington University and has taught at the Trachtenberg School (George Washington University) since 2006. She also has an MA in Economics from Georgetown University and a Master of Urban and Environmental Planning from the University of Virginia.

Joseph P. Mitchell, III, *Director of Strategic Initiatives & International Programs*. Dr. Mitchell leads the Academy's Grand Challenges in Public Administration initiative, which is working to address the most challenging issues facing government over the next decade. He leads the Agile Government Center along with Academy Fellows from the IBM Center for the Business of Government, advances cutting edge thought leadership, and develops partnerships with other good government groups, American universities, and universities in other countries. Most recently, he was at the General Services Administration to help stand up its Office of Shared Solutions and Performance Improvement, building and leading a team to manage multi-functional and cross-agency projects and initiatives in support of the President's Management Agenda. Previously, he led and managed the Academy's organizational studies program, overseeing all congressionally-directed and agency-requested reviews and consulting engagements. He has directed work for a variety of public agencies, including for the Bureau of Transportation Statistics, Government Publishing Office, Council of Europe, the US Senate Sergeant at Arms, the US Agency for International Development, the National Park Service's Natural Resource Stewardship and Science Directorate, and the Natural Resources Conservation Service at the US Department of Agriculture. He serves on the National Science Foundation's

Business and Operations Advisory Committee. He is a member of Phi Kappa Phi, the national academic honor society; Pi Alpha Alpha, the national honor society for public affairs and administration; and the American Society for Public Administration. He holds a Ph.D. from the Virginia Polytechnic Institute and State University, a Master of International Public Policy from the Johns Hopkins University School of Advanced International Studies, a Master of Public Administration from the University of North Carolina at Charlotte, and a BA in History from the University of North Carolina at Wilmington.

Robert Goldenkoff, *Senior Advisor*, Mr. Goldenkoff joined the Academy in April 2020. He has supported other Academy work including a study of improving the cultural competence of the US Coast Guard Academy, and a project focused on strengthening core management functions at the US Department of Homeland Security's Office of Inspector General. Mr. Goldenkoff has over 30 years of experience in federal program evaluation and organizational transformation with the US Government Accountability Office. He retired from GAO in January 2020 as a Director on GAO's Strategic Issues team where he led a portfolio of work focused on strengthening federal human capital management and improving the cost-effectiveness of the federal statistical system. His work resulted in tens of millions of dollars in financial savings, and dozens of program improvements. Mr. Goldenkoff was also an adjunct faculty member at GAO's Learning Center where he taught classes on congressional testimony, congressional relations, and performance auditing. Mr. Goldenkoff received his BA (political science) and Master of Public Administration degrees from the George Washington University.

Yang (Chloe) Yang, *Senior Analyst*, Ms. Yang is a Senior Research Analyst at the Academy. Since joining the Academy in 2009, she has worked on projects with a range of federal and state agencies, including the Office of Personnel Management, the National Oceanic and Atmospheric Administration, the State Chamber of Oklahoma, and the Bureau of Transportation Statistics. Before joining the Academy, Ms. Yang was the research intern at the Foundation Environmental Security and Sustainability. She has also worked as an intern at the Woodrow Wilson Center for Scholars and a research assistant at George Mason University (GMU). Ms. Yang graduated from GMU with a Master's in Public Administration. She also holds a bachelor's degree in Financial Management from the Renmin University of China.

Sharon Yoo, *Research Analyst*, Ms. Yoo has had extensive research experience in various topics, including international development, energy, education, and technology. She has interned and worked with organizations such as the United Nations Development Fund and the Massachusetts Institute of Technology Media Lab. Her most recent research project was completed while working as a Graduate Researcher at Johns Hopkins. She and a team of researchers evaluated Pakistan's energy crisis. Ms. Yoo focused on the finance component, studying supply chain, natural resources, and evaluated years of previous research. Her team was able to visit Pakistan and to speak with 30 stakeholders to create a proposal for submission to Pakistan and the US government. She holds a dual degree master's from The Johns Hopkins University – School of Advanced International Studies and Harvard Graduate School of Education.

Adam Darr, *Senior Research Analyst*, Mr. Darr joined the Academy in 2015 as a Research Associate having previously interned in the summer of 2013. He has served on numerous

Academy projects, including work for the National Science Foundation, Farm Service Agency, US Secret Service, Federal Aviation Administration, and National Nuclear Security Administration. His areas of emphasis have been governance and management reform, organizational change, human capital, project and acquisition management, customer service best practices, and strategic planning. Mr. Darr is currently pursuing a Master's in Public Administration at The George Washington University and holds a Bachelor of Arts in Political Science and Homeland Security/Emergency Management from Virginia Commonwealth University.

Allen Harris, Senior Research Associate, Mr. Harris joined the Academy in October 2019 as a Research Associate. He has served on Academy projects including work for the National Park Service Design and Construction Program, Department of Energy, Office of Technology Transfer, Department of Agriculture, Agricultural Research Service, and the National Association of Counties. He has experience in assisting agencies with infrastructure design and construction assessment, strategic plan development, and best practice benchmarking. Before joining the Academy, Mr. Harris had numerous internships, including working at the Brookings Institute and the US– Japan Bridging Foundation. He graduated from the University of St Andrews, Scotland, in 2018, earning an MA, Honors in International Relations and Modern History

